

06-05-01

A

UTILITY PATENT APPLICATION TRANSMITTAL

(Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
NFRK-001Total Pages in this Submission
65**TO THE ASSISTANT COMMISSIONER FOR PATENTS**Box Patent Application
Washington, D.C. 20231

Transmitted herewith for filing under 35 U.S.C. 111(a) and 37 C.F.R. 1.53(b) is a new utility patent application for an invention entitled:

FOUNDATION FUNDS GENERATION SYSTEM AND METHOD

and invented by:

Rosalind Herman and Gregg Caplitz

10978 U.S. PTO
09/873864
06/04/01If a **CONTINUATION APPLICATION**, check appropriate box and supply the requisite information:

Continuation Divisional Continuation-in-part (CIP) of prior application No.: _____

Which is a:

Continuation Divisional Continuation-in-part (CIP) of prior application No.: _____

Which is a:

Continuation Divisional Continuation-in-part (CIP) of prior application No.: _____

Enclosed are:

Application Elements

1. Filing fee as calculated and transmitted as described below
2. Specification having 53 pages and including the following:

- a. Descriptive Title of the Invention
- b. Cross References to Related Applications (if applicable)
- c. Statement Regarding Federally-sponsored Research/Development (if applicable)
- d. Reference to Microfiche Appendix (if applicable)
- e. Background of the Invention
- f. Brief Summary of the Invention
- g. Brief Description of the Drawings (if drawings filed)
- h. Detailed Description
- i. Claim(s) as Classified Below
- j. Abstract of the Disclosure

UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
NFRK-001

Total Pages in this Submission
65

Application Elements (Continued)

3. Drawing(s) (when necessary as prescribed by 35 USC 113)
a. Formal b. Informal Number of Sheets _____ 6
4. Oath or Declaration
 - a. Newly executed (original or copy) Unexecuted
 - b. Copy from a prior application (37 CFR 1.63(d)) (for continuation/divisional application only)
 - c. With Power of Attorney Without Power of Attorney
 - d. **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application,
see 37 C.F.R. 1.63(d)(2) and 1.33(b).
5. Incorporation By Reference (usable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.
6. Computer Program in Microfiche
7. Genetic Sequence Submission (if applicable, all must be included)
 - a. Paper Copy
 - b. Computer Readable Copy
 - c. Statement Verifying Identical Paper and Computer Readable Copy

Accompanying Application Parts

8. Assignment Papers (cover sheet & documents)
9. 37 CFR 3.73(b) Statement (when there is an assignee)
10. English Translation Document (if applicable)
11. Information Disclosure Statement/PTO-1449 Copies of IDS Citations
12. Preliminary Amendment
13. Acknowledgment postcard
14. Certificate of Mailing

First Class Express Mail (Specify Label No.): EL721016994US

UTILITY PATENT APPLICATION TRANSMITTAL (Small Entity)

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Docket No.
NFRK-001

Total Pages in this Submission
65

Accompanying Application Parts (Continued)

15. Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. Small Entity Statement(s) - Specify Number of Statements Submitted: 37 CFR 1.27 Status claimed
17. Additional Enclosures (please identify below):

Fee Calculation and Transmittal

CLAIMS AS FILED

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	29	- 20 =	9	x \$9.00	\$81.00
Indep. Claims	3	- 3 =	0	x \$40.00	\$0.00
Multiple Dependent Claims (check if applicable)	<input type="checkbox"/>				\$0.00
				BASIC FEE	\$355.00
OTHER FEE (specify purpose)					
				TOTAL FILING FEE	\$436.00

A check in the amount of \$436.00 to cover the filing fee is enclosed.

The Commissioner is hereby authorized to charge and credit Deposit Account No. 50-1133 as described below. A duplicate copy of this sheet is enclosed.

- Charge the amount of _____ as filing fee.
- Credit any overpayment.
- Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.
- Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: June 4, 2001


Signature

David M. Mello, Reg. No. 43,799
McDermott, Will & Emery
28 State Street
Boston, MA 02109
Tel 617-535-4037
Fax 617-535-3800

CC: